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PATENT APPLICATION SERIAL NO. _____

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE
FEE RECORD SHEET

11/19/2003 AOSMAN1 00000023 10713029

01 FC:1001 -770.00 OP

Adjustment date: 01/15/2004 EEKUBAY1
11/19/2003 AOSMAN1 00000023 10713029
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01/15/2004 EEKUBAY1 00000019 10713029

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PTO-1556
(5/87)

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Rom 307

PATENT



Docket No.: 4504-095

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Young-Meng CHIANG et al

U.S. Patent Application No. 10/713,029

Filed: November 17, 2003

Confirmation No. n/a
Group Art Unit: n/a
Examiner: n/a

For: NEW METHOD FOR PRODUCING HIGH OD PHYCOERYTHRIN

REQUEST FOR REFUND

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

A refund in the amount of \$385.00 is requested for the following reason:

- Applicant claims a small entity status

Enclosed is a copy of the Verified Statement (Declaration) Claiming Small Entity Status.

Please immediately credit Deposit Account No.: 07-1337 in this amount.

Respectfully submitted,

LOWE HAUPTMAN GILMAN & BERNER, LLP

Kenneth M. Berner

Kenneth M. Berner
Registration No. 37,093

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DATE: January 6, 2004

ALV0043PA-US

Applicant or Patentee:

Serial or Patent No.:

Filed or Issued:

For:

Young-Meng Chiang et al

10/713,029

filed on November 17, 2003

New Method for Producing High OD Phycoerythrin



Attorney's Docket No.:

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) and 1.27(c)) - SMALL BUSINESS CONCERN

I hereby declare that I am

☐

the owner of the small business concern identified below:

☒

an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF ORGANIZATION: Zen-U Biotechnology Co., LTD.

ADDRESS OF ORGANIZATION: 14A F, No. 2, Sec. 3, Sinsheng S. Rd., Da-an District, Taipei City 106, Taiwan, R.O.C.

I hereby declare that the above identified small business concern qualified as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled New Method Producing High OD Phycoerythrin by inventor(s) 1. Chiang, Young-Meng 2. Chou, Hong-Nong 3. Jeng, Jiunn-Ming 4. Lu, Chih-Yi described in

☒

the specification filed herewith.

☐

application Serial No. , filed .

☐

patent no. , issued .

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e). *NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

NAME Zen-U Biotechnology Co., LTD.

ADDRESS 14A F, No. 2, Sec. 3, Sinsheng S. Rd., Da-an District, Taipei City 106, Taiwan, R.O.C.

☐ INDIVIDUAL

☒ SMALL BUSINESS CONCERN

☐ NONPROFIT ORGANIZATION

NAME Lu, Chih-Yi

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☒ INDIVIDUAL

☐ SMALL BUSINESS CONCERN

☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: YU-MU WANG

TITLE IN ORGANIZATION: President

ADDRESS OF PERSON SIGNING:

SIGNATURE:

DATE: 2003.12.23

YU-MU WANG